

**PERFORMANCE PLAN AND APPRAISAL RECORD FOR NON-SENIOR EXECUTIVE SERVICE  
MANAGEMENT AND SUPERVISORY ASSOCIATES**

**NOTE: Read instructions on Pages 5 and 6 before completing form.**

**PART 1. ADMINISTRATIVE INFORMATION**

1. NAME OF ASSOCIATE ( <i>Last, First, Middle Initial</i> )		2. SOCIAL SECURITY NUMBER	3. PAY PLAN, SERIES AND GRADE	
4. ORGANIZATION		5. CORRESPONDENCE SYMBOL	6. RATING PERIOD ( <i>MM/DD/YYYY</i> )	
			a. FROM	b. TO

**PART 2. POSITION DESCRIPTION REVIEW CERTIFICATION**

7. I certify that I reviewed the associate's position description. If I do not believe it is an accurate statement of the major duties and responsibilities, I have started appropriate action.	SUPERVISOR'S INITIALS	DATE
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**PART 3. RATINGS**

**Evaluate the performance plan objectives, underlying activities and tasks and assign a rating to each critical element below. Use blank sheets of paper and attach to form if more space is needed.**

**RATING LEVEL DEFINITIONS**

LEVEL	DEFINITION
5	Meets and consistently exceeds performance expectations as described in Level 3.
4	Meets and often exceeds performance expectations as described in Level 3.
3	Meets performance expectations as further described in the Instructions.
2	Partially meets performance expectations as described in Level 3.
1	Does not meet performance expectations as described in Level 3.

8. CRITICAL ELEMENT	9. CRITICAL ELEMENT WEIGHT (%)	10. RATING LEVEL				
		5	4	3	2	1
a. MANAGING ORGANIZATIONAL OBJECTIVES (60%) Accountable for organizational objectives/initiatives that contribute to the overall success of General Services Administration and effectively achieving results of the agency's goals. Successfully accomplished interim milestones for long-term activities.						
(1)						
(2)						
(3)						
(4)						
(5)						

8. CRITICAL ELEMENT	9. CRITICAL ELEMENT WEIGHT (%)	10. RATING LEVEL				
		5	4	3	2	1
<b>b. LEADERSHIP COMPETENCIES (40%)</b>						
<p><b>(1). LEADING CHANGE:</b></p> <p><b>Creativity and Innovation</b> - Develops new insights into situations and applies innovative solutions to make organizational improvements. Creates a work environment that encourages creative thinking and innovation. Designs and implements cutting edge programs/processes.</p> <p><b>Resilience</b> - Deals effectively with pressure. Maintains focus and intensity, and remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Effectively balances personal life and work.</p> <p><b>Strategic Thinking</b> - Formulates effective strategies consistent with the business and competitive strategy of the organization in a global economy. Examines policy issues and strategic planning with a long-term perspective. Determines objectives and sets priorities; anticipates potential threats or opportunities.</p> <p><b>Vision</b> - Takes a long-term view and acts as a catalyst for organizational change. Builds a shared vision with others. Influences others to translate vision into action.</p>						
<p><b>(2). LEADING PEOPLE:</b></p> <p><b>Integrity/Honesty</b> - Instills mutual trust and confidence. Creates a culture that fosters high standards of ethics. Behaves in a fair and ethical manner toward others. Demonstrates a sense of corporate responsibility and commitment to public service.</p> <p><b>Leveraging Diversity</b> - Recruits, develops, and retains a diverse high quality workforce in an equitable manner. Leads and manages an inclusive workplace that maximizes the talents of each person to achieve sound business results. Respects, understands, values, and seeks out individual differences to achieve the vision and mission of the organization. Develops and uses measures and rewards to hold self and others accountable for achieving results that embody the principles of diversity.</p>						
<p><b>(3). RESULTS DRIVEN:</b></p> <p><b>Customer Service</b> - Balances interests of a variety of clients. Readily readjusts priorities to respond to pressing and changing client demands. Anticipates and meets the needs of clients. Achieves quality end products. Is committed to continuous improvement of services.</p> <p><b>Decisiveness</b> - Exercises good judgment by making sound and well-informed decisions. Perceives the impact and implications of decisions. Makes effective and timely decisions, even when data are limited or solutions produce unpleasant consequences. Is proactive and achievement oriented.</p>						
<p><b>(4). BUSINESS ACUMEN:</b></p> <p><b>Financial Management</b> - Demonstrates broad understanding of the principals of financial management and marketing expertise necessary to ensure appropriate funding levels. Prepares, justifies, and/or administers the budget for the program area. Uses cost-benefit thinking to set priorities. Monitors expenditures in support of programs and policies. Identifies cost-effective approaches. Manages procurement and contracting.</p> <p><b>Human Resources Management</b> - Assesses current and future staffing needs based on organizational goals and budget realities. Using merit principles, ensures staff are appropriately selected, developed, utilized, appraised, and rewarded. Takes corrective action.</p> <p><b>Technology Management</b> - Uses efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness. Develops strategies using new technology to enhance decision-making. Understands the impact of technological changes on the organization.</p>						

8. CRITICAL ELEMENT	9. CRITICAL ELEMENT WEIGHT (%)	10. RATING LEVEL				
		5	4	3	2	1
<b>b. LEADERSHIP COMPETENCIES (40%) (Continued)</b>						
(5). BUILDING COALITIONS/COMMUNICATIONS:  <b>Interpersonal Skills</b> - Considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations. Is tactful, compassionate, and sensitive, and treats others with respect. <b>Political Savvy</b> - Identifies the internal and external politics that impact the work of the organization. Approaches each problem with a clear perception of organizational and political reality. Recognizes the impact of alternative courses of action. <b>Influencing/negotiating</b> - Persuades others. Builds consensus through give and take. Gains cooperation from others to obtain information and accomplish goals. Facilitates "win-win" situations.						

**PART 4. COMMENTS ON OVERALL PERFORMANCE**

11. Use blank sheets of paper and attach to form if more space is needed.

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**PART 5. DEVELOPMENT AND TRAINING**

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12. INDICATE PROFESSIONAL GROWTH NEEDS AND AVENUES TO MEET THOSE NEEDS *(Use blank sheets of paper and attach to form if more space is needed)*

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**PART 6. CERTIFICATION OF PERFORMANCE PLAN AND MID YEAR REVIEW**

Signatures below certify that the supervisor and associate discussed performance expectations and a copy of the performance plan was provided and/or changes were made as necessary.

13. PERFORMANCE PLAN DEVELOPED		14. MID YEAR REVIEW	
a. SIGNATURE OF SUPERVISOR/RATING OFFICIAL	b. DATE	a. SIGNATURE OF SUPERVISOR/RATING OFFICIAL	b. DATE
c. SIGNATURE OF ASSOCIATE <i>(Verifies receipt of plan only)</i>	d. DATE	c. SIGNATURE OF ASSOCIATE	d. DATE

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**PART 7 . SUMMARY RATING**

15. TYPE OF RATING  <input type="checkbox"/> Annual <input type="checkbox"/> Interim	16. ASSIGNED SUMMARY RATING LEVEL (1 - 5)
17a. SIGNATURE OF SUPERVISOR/RATING OFFICIAL	17b. DATE
18a. SIGNATURE OF ASSOCIATE <i>(Indicates receipt of appraisal, but not necessarily agreement with the rating.)</i>	18b. DATE
19a. SIGNATURE OF REVIEWING OFFICIAL <i>(For summary ratings at Level 5 or Level 1)</i>	19b. DATE

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## INSTRUCTIONS

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### **GENERAL:**

A performance plan must be issued to the associate at the beginning of each rating period. Parts 1 and 2 are completed by the supervisor at this time, and the names of the critical elements from the performance plan are entered into Part 3. This plan should be done before filling out these parts and then attached to this form or entered in items 8 and 9 of Part 3. These plans may be modified during the performance cycle, but associates must perform under a documented performance plan for a minimum of 120 days before they can be rated. See General Services Administration Directive CPO P 9430.1, chapter 3 for further instructions.

Within 45 days of the end of the rating cycle, evaluate actual performance against the expectations defined in the performance plan and assign both a rating to each critical element and a summary rating based on how well the associate met these expectations. After both parties sign the form, a copy of both this form and the performance plan are given to the associate. The original form is sent to the servicing Human Resources Office for filing in the associate's Official Personnel Folder.

### **SPECIFIC:**

Part 1 - Administrative Information:

Items 1 -6 Self-explanatory.

Part 2 - Position Description Review Certification

Item 7 - Self-explanatory.

Part 3 - Rating:

Items 8a. Critical Elements - Managing Organizational Objectives. Mandatory. Enter the name of each critical element that appears on the performance plan. If plan was recorded separately from this form, include the phrase "see attached" after the element name.

Item 9a. Critical Element Weight (%). Mandatory. Weights for this section must equal 60% and can be assigned in two ways: The supervisor can give each element a specific weight or have all the elements the same weight as long as the total is 60%. For example: An associate has 4 critical elements in this section and no specific weights were assigned. Since the weights must total 60%, each element is worth 15%.

Item 8b. Critical Elements - Leadership Competencies. Mandatory. You must select at least one competency in this section.

Item 9b. Critical Element Weight (%). Mandatory. Weights for this section must equal 40% and can be assigned in two ways: The supervisor can give each competency selected a specific weight or have all the selected competencies the same weight as long as the total is 40%. For example: An associate is appraised on 4 elements in this section and no specific weights were assigned. Since the weights must total 40%, each element is worth 10%.

Item 10. Rating Level. Assign a level to each critical element.

Part 4 - Comments on Overall Performance.

Item 11. Complete this item at the end of the rating period.

Part 5 - Development and Training:

Item 12. Self-explanatory. This is completed at the end of the rating period.

Part 6 - Certification of Performance Plan and Mid Year Review:

Items 13a - 14d. Sign and date in the appropriate blocks after the performance plan is shared with the associate and again at mid year review. Mid year reviews should be conducted no later than 120 days before the end of the rating period. At this point the original form is held for the annual rating.

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## INSTRUCTIONS (Cont.)

Part 7 - Summary Rating: Complete after assessing each critical element and assigning the appropriate weight and level. Weights of both sections are used to determine this rating.

Item 15. Type of Rating. Self-explanatory.

Item 16. Assigned Summary Rating Level. See instructions below for determining level.

Items 17a - b. Signature of Supervisor/ Rating Official. Self-explanatory.

Items 18a - b. Signature of Associate. Self-explanatory.

Items 19a - b. Signature of Reviewing Official. Self-explanatory.

Use the following method to get the summary rating:

Level 5: 70% or more of the total critical element weights are rated at this level and no critical element is rated below Level 3.

Level 4: 60% of the total critical element weights are rated at this level or Level 5, does not meet the Level 5 rule, and no critical element is rated below Level 3.

Level 3: Critical element weights do not meet the rules for Level 4 or Level 5, and no critical element is rated below Level 3.

Level 2: One critical element is rated at this level.

Level 1: One critical element is rated at this level.

### SAMPLES OF A SUMMARY RATING:

Supervisor A rates Associate A as follows:

Managing Organization Objectives:

Critical Element 1 - Weight = 20%; Rating = Level 4

Critical Element 2 - Weight = 30%; Rating = Level 3

Critical Element 3 - Weight = 10%; Rating = Level 4

Leadership Competencies:

Leading People - Weight = 10%; Rating = Level 4

Business Acumen - Weight = 15%; Rating = Level 5

Building Coalitions/Communications - Weight = 15%; Rating = Level 4

This associate receives a Level 4 summary rating because the weights for critical elements 1 and 3 and all 3 leadership competencies (all Level 4 or 5) totaled 70% and no element was rated below Level 3.

Supervisor B rates Associate B as follows:

Managing Organization Objectives:

Critical Element 1 - Weight = 30%; Rating = Level 3

Critical Element 2 - Weight = 30%; Rating = Level 4

Leadership Competencies:

Leading People - Weight = 20%; Rating = Level 3

Business Acumen - Weight = 20%; Rating = Level 4

This associate receives a Level 3 summary rating because no element was rated below Level 3, but there is not enough weight at the Level 4 to meet the 60% standard for a Level 4 rating.